

COUNCIL MEETING MINUTES
Monday, October 2nd, 2017 9:30 – 4:30
COO Boardroom – 90 Adelaide Street, Suite 300, Toronto

Council Members Present:

Mr. David Milne, President, Public Member
Ms. Ingrid Koenig RO, Vice-President, Elected Member *(left the meeting at 12:00 noon)*
Mr. Bryan Todd RO, Elected Member
Mr. Omar Farouk, Public Member
Ms. Eve Hoch, Public Member
Mr. Joseph Richards, Public Member
Ms. Neda Mohammadzadeh RO, Elected Member
Mr. Edward Viveiros RO, Elected Member
Ms. Peggy Dreyer, Public Member
Ms. Trudy Mauth, Public Member
Mr. Jeff Fernandes RO, Elected Member
Mr. Gordon White, Public Member
Mr. Balbir Dhillon RO, Elected Member *(left the meeting at 12:00 noon)*

Administration:

Mr. Jim Dunsdon, Independent Meeting Chair
Mr. Fazal Khan RO, Registrar
Ms. Bev Sloan, Deputy Registrar
Ms. Amy Stein, General Counsel
Ms. Farrah Kamani, Executive Assistant *(meeting recorder)*

Regrets:

Mr. Rob Vezina, RO

Guests:

Ms. Karen Fryday-Field, Meridian Edge Consulting

1.0 Introduction

1.1 Introductions and Announcements

Independent Meeting Chair Jim Dunsdon called the meeting to order with a role call at 9:30 am and welcomed all. He requested that no recordings during the meeting take place. It was noted that Vice-President Ingrid Koenig would be joining the meeting via conference call.

President David Milne made a presentation honoring Ms. Susan Carlyle a former public appointee to the College for her service over the past three years. Ms. Carlyle was unable to attend and a plaque noting her years with the College was presented and will be sent to Ms. Carlyle with a congratulatory letter.

1.2 Conflict of Interest Declaration - Executive Limitations Policies

A conflict of interest with two in-camera agenda items was declared by Mr. Jeff Fernandes. The meeting chair requested that this declaration be revisited when the items were to be discussed.

1.3 Adoption of Agenda

MOTION: To adopt agenda as circulated.

Moved: Jeff Fernandes

Seconded: Gordon White

MOTION: **CARRIED**

2.0 Governance Presentations

2.1 Adoption of Policy Governance Model

Governance Chair Gordon White spoke to Council about the policy governance model, including new and refreshed governance policies that were before them today for discussion and approval. The College's Strategic Plan set a goal of building and implementing a robust Council effectiveness evaluation and refreshing its governance policies. Mr. White introduced Ms. Karen Fryday-Field of Meridian Edge Consulting who has been working with the Governance Committee to achieve this goal. Ms. Fryday-Field spoke at length about policy driven governance that focuses on policy and strategic directions more than making one-off operational decisions and administrative details. Council was then asked to affirm this strategic direction via a motion.

MOTION: WHEREAS the Council is committed to continuously enhancing the focus, excellence, engagement, transparency, and accountability of its governance approach;

WHEREAS the Council believes its governance approach should emphasize end (outcomes) results for the public, encourage diverse perspectives, focus on strategic leadership rather than administrative detail, clearly distinguish between governance (Council) and management (CEO & Registrar) roles, demonstrate forward thinking and outward focus, practice collaborative decision-making, and demonstrate a commitment to engagement with the public and members; and

WHEREAS the Council recognizes that its role is in governance and not management and further believes that after significant study, the ten (10) principles of Policy Governance offer a useful approach to effective governance (see Appendix A),

BE IT RESOLVED THAT the Council of the College of Opticians of Ontario, hereby moves to:

1. Design and adopt the Policy Governance approach to meet the governance needs of the College of Opticians of Ontario.
2. Utilize Policy Governance as a system of governance incorporating, in a flexible manner, the ten principles.
3. Develop and pass policies to record the Council's policy direction in four categories (Ends, Executive Limitations, Governance Process, and Council-Staff Relationship Policies).

4. Engage the public in informing the Council's policy decisions.
5. Connect with the CEO & Registrar, as the Council's one employee and the Chief Executive Officer of the organization.
6. Monitor the performance of the CEO & Registrar and the organization synonymously and with careful diligence to ensure that the desired outcomes for the public (and, where appropriate, members) are achieved within the Council's risk boundaries of prudence and ethics.

Moved: Gordon White
Seconded: Joseph Richards

MOTION: CARRIED

2.2 Governance Policy Manual – Revised Table of Contents

Council was presented with a revised list of topics (Table of Contents) for its existing Governance Manual for consideration. The revised Table of Contents proposed new policies requiring development along with existing governance policies that will be incorporated into the new table, some newly refreshed and some that will require review and refreshing.

MOTION: That the COO Council adopt the revised COO Council Policy Manual Table of Contents recognizing that Council will continue to develop and evolve the list of topics for which it will provide policy direction.

Moved: Gordon White
Seconded: Ingrid Koenig

MOTION: CARRIED

2.3 High Level Governance Policies

2.3.1 Governance Approach Policy (IV-01)

Ms. Karen Fryday-Field presented Council with a policy governance approach wherein policies are defined in four categories: End Policies, Executive limitations, Council-CEO and Registrar Relationship, and Governance Process. The first policy for consideration was the Governance Approach Policy (IV-01).

MOTION: That the COO Council approve the Governance Approach Policy (IV-01) governing policy.

Moved: Gordon White
Seconded: Ingrid Koenig

MOTION: CARRIED

2.3.2 General Executive Constraint (II-01)

The second policy presented to Council for consideration was included in the Executive Limitations Policies quadrant wherein the Council establishes the boundaries of acceptability within which staff methods and activities can responsibly be delegated to staff.

MOTION: That the COO Council approve the General Executive Constraint Policy (II-01) governing policy.

Moved: Gordon White

Seconded: Bryan Todd

MOTION: CARRIED

2.3.3 Global Council Registrar/CEO Relationship Policy (III-01)

The third policy for consideration was included in the Council/Registrar Relationship Policies quadrant wherein the Council clarifies the manner in which it delegates authority to the CEO/Registrar and therefore the staff, as well as how it evaluates staff performance on provisions of the achievement of Ends and operations within Executive Limitations policies.

MOTION: That the COO Council approve the Global Council-CEO & Registrar Policy (III-01) governing policy.

Moved: Balbir Dhillon

Seconded: Trudy Mauth

MOTION: CARRIED

2.4 Financial Planning and Budgeting Policy (I-05)

This policy falls under the Executive Limitations policy quadrant and was designed to put executive boundaries and risk tolerances around the financial planning and budgeting process and structure. The policy was originally approved on September 20, 2011 and had not been reviewed since that time. The policy has undergone an initial review by the Governance Committee and will be presented for approval at the December Council meeting.

2.5 Financial Condition Policy (II-06)

The Financial Condition Policy falls under the Executive Limitations policy quadrant. The policy addresses financial executive boundaries related to the ongoing financial condition of the College and aims to avoid a situation where the College is not looking at the long-term financial sustainability of the College. This policy was first approved in September of 2011 but had not been reviewed since its implementation. The Governance Committee reviewed the relevancy of the policy, revised it accordingly and presented the revised policy to Council for consideration.

MOTION: That the COO Council approve the revised “Financial Condition” (II-06) Executive Limitations policy to be current and relevant.

Moved: Gordon White

Seconded: Eve Hoch

MOTION: CARRIED

2.6 Communication and Support to Council Policy (II-50)

The Communications and Support to Council Policy falls under the Executive Limitations Policy quadrant. The policy was designed to set the executive boundaries around the risks related to not keeping the Council informed and supported. The policy was first approved in September of 2011 but had not been reviewed since its implementation. The Governance Committee reviewed the relevancy of the policy, revised it accordingly and presented the revised policy to Council for consideration.

MOTION: That the COO Council approve the revised “Communication and Support to the Council” (II-50) Executive Limitations policy to be current and relevant.

Moved: Gordon White

Seconded: Trudy Mauth

MOTION CARRIED

2.7 COO Council Governance Rehearsal/Case Study

Ms. Karen Fryday-Field presented Council with a case study designed to help Council members make decisions based on the new and revised policies presented at the meeting. Council convened into four groups to brainstorm potential actions or questions Council would consider when making a decision.

2.8 The COO 2017 Roadmap for Governance Committee/Council Governance work plan (V.Aug.10.2017)

The Governance Committee presented Council with a briefing report containing a work plan outlining what the committee had completed to date and setting out continuing policy work to be undertaken by the committee. The Governance Committee was commended on its accomplishments to date. Committee Chair Gordon White thanked Council on its commitment to moving the organization forward.

3.0 Minutes

3.1 May 29, 2017

MOTION: That the minutes of the May 29, 2017 Council meeting be approved as presented.

Moved: Omar Farouk

Seconded: Joseph Richards

MOTION: CARRIED

4.0 Finance

4.1 Year-to-Date Financial Variance Report

Council reviewed the year-to-date financial variance report for the period ending August 31, 2017. It was noted the revenue was slightly above the budgeted figure with Council and committee expenditures and operational and administrative expenditures both currently under budget.

The Registrar provided Council with an overview of the office move financials and noted that the College is trending below budget for the move.

5.0 Decisions & Discussion

5.1 Annual Report

The Registrar noted that due to the office move, the 2016 Annual Report was in the process of being printed. Council was provided with an electronic version of this report on-screen for review. The report is to be circulated electronically to Council.

Copies of the report will be available in print for the upcoming continuing education events where members will be able to pick up a copy. The Registrar will address the membership at these events and invite questions. The report is to be posted on the College website.

5.2 Contact Lens Mentor Policy

Council reviewed and discussed proposed amendments to the College's Contact Lens Mentor Policy. The Registration Committee recommended the policy be amended to remove the provision that prohibited members who have experienced a break in their practice to be eligible for the status. The current policy states that members applying for this status must have been actively fitting contact lenses continuously for a minimum of three consecutive years. Council was also asked to approve the inclusion of a statement regarding accommodation requests in the policy.

MOTION: That the COO Council approve the amended Contact Lens Mentor Policy, with an immediate effective date, as circulated.

Moved: Bryan Todd
Seconded: Ingrid Koeing

MOTION: **CARRIED**

5.3 Publishing Council Meeting Materials Policy

The Governance Committee had been tasked with developing a policy regarding what Council materials should be published in keeping with anticipated requirements of Bill 87. A draft policy was circulated to Council for review and discussion. The College's in-house legal counsel spoke to the policy and fielded questions from Council.

MOTION: That the Publishing Council Meeting Materials Policy be approved as presented and implemented on a go forward basis.

Moved: Gordon White
Seconded: Peggy Dreyer

MOTION: **CARRIED**

5.4 Bill 87 By-law Clean Up

Council reviewed proposed amendments to College By-laws, specifically By-law Article 15.6(x) and 15.6 (xxx) regarding information to be posted to the College's Public Register that due to Bill 87 having received royal assent, are currently not in compliance the Health Professions Procedural Code. The College's in-house legal counsel took Council through the proposed amendments offering insight and rationale for the proposed amendments. Council considered, with discussion, the proposed amendments.

MOTION: That the COO Council approve, in principle, amendments to Article 15 of the by-laws and circulate for stakeholder feedback.

Moved: David Milne
Seconded: Omar Farouk

MOTION: CARRIED

5.5 By-Law Amendments

5.5.1 Electoral District 6

A proposed amendment to By-law Article 6.3(m) regarding eligibility criteria that must be met by candidates running for election to Council in Electoral District 6, CCLF (Certified Contact Lens Fitter) was presented by the Governance Committee. The committee was tasked by Council to review the criteria for this district at the May 29, 2017 meeting. The committee reviewed three options and with due consideration by the committee, including input from Ontario opticianary educators, recommended that the criteria for election in District 6 - CCLF be amended to recognize members who hold the designation as a Contact Lens Mentor be eligible for election. The College's in-house Counsel fielded questions from Council on this proposed amendment.

MOTION: That the COO Council approve, in principle, amendments to Article 6.3(m) of the by-laws and circulate for stakeholder feedback.

Moved: Gordon White
Seconded: Neda Mohammadzedah

MOTION: CARRIED

5.5.2 Life Member

The Registration Committee recommended proposed amendments to the College's Life Member By-law and Life Member Policy. The proposed amendments centered on current criteria that must be met for a member to qualify for the designation as a Life Member of the College. Council reviewed and discussed the proposed amendments to the by-law and Life Member Policy.

MOTION: To circulate for feedback, proposed changes to the College by-laws regarding life members and the Life Member Policy.

Moved: Bryan Todd
Seconded: Edward Viveiros

MOTION: CARRIED

5.5.3 Committee Terms

The Governance Committee was tasked with reviewing and making recommendations on amendments to relevant College by-laws regarding the timing of committee elections and appointments to be held in December instead of January in each year. Amendments regarding the proposed timing would, among other things, facilitate College committees' ability to transact business as soon beginning on January 1 in each year. As Bill 87 also introduced new timeliness requirements for the positing of information to the

public register additional pressure is conveyed upon committees to make timely decisions to comply with these requirements. Questions and some concerns were posed by members of Council with the College's in-house legal counsel responding.

MOTION: To circulate proposed amendments to relevant College by-laws regarding the election of the Executive Committee and committee appointments to stakeholders for feedback.

Moved: Gordon White
Seconded: Jeff Fernandes

MOTION: CARRIED

6.0 Reports

6.1 Registrar's Report

The Registrar reported on recent staffing changes at the College, updated Council on the status of the renewal portal launch for opticians renewing for 2018, and noted the office move itself went relatively smoothly however there was still some work to be done in the new location. Also reported was this College's participation in a Cooperation and Collaboration Working Group involving ten RHPA colleges with 3,000 members or under who met to discuss opportunities for sharing resources and preferred vendors. The College will be attending three continuing education/trade shows in October and facilitating the fall National Registration Examination session at Georgian College. The Registrar also announced two acclamations in the upcoming Council elections, Ms. Neda Mohammedzedah in District 8 and Mr. Ed Viveiros in District 1. An election will be held on November 17, 2017 in District 5.

6.2 Strategic Plan 2017-2019

The Registrar provided Council with an update on the College's new 2017-2019 Strategic Plan.

It was noted that the December Council Meeting is scheduled for Tuesday, December 5, 2017. Council is to engage in a strategic planning session on Monday, December 4 which will not be open to the public.

6.3 Committee Reports

- 6.3.1 Discipline Committee
- 6.3.2 Registration Committee
- 6.3.3 Fitness to Practice Committee
- 6.3.4 Inquiries, Complaints and Reports Committee
- 6.3.5 Patient Relations Committee
- 6.3.6 Executive Committee
- 6.3.7 Governance Committee
- 6.3.8 Quality Assurance Committee

Committee Chairs spoke to their respective reports and answered any questions from Council members.

MOTION: To adopt the committee reports as presented.

Moved: Bryan Todd
Seconded: Joseph Richards

MOTION: CARRIED

6.4 National Registration Examinations

The Chief Examiner for Ontario provided Council with information on the Spring National Examination session which took place in May and noted that the fall session was scheduled for October 27-29 at Georgian College in Barrie.

6.5 Seneca/Georgian Advisory Meetings

The Registrar provided Council with a verbal update on the Seneca and Georgian Advisory Committee meetings. Both schools are continuing to grapple with incorporating refracting competencies into their curriculums. It was noted that fall advisory committee meetings had been cancelled due to the strike.

7.0 Legal – In Camera Session, Under RHPA, Schedule 2, Section 7 (c)

MOTION: To proceed to an in-camera session under the RHPA, Schedule 2, Section 7(c).

Moved: David Milne

Seconded: Trudy Mauth

MOTION: CARRIED

8.0 Adjournment

MOTION: That the meeting be adjourned.

Moved: Trudy Mauth

Seconded: Peggy Dreyer

MOTION: CARRIED

The meeting adjourned at 3:00 pm.

TO: Council

FROM: Executive Committee

DATE: December 5, 2017

SUBJECT: Financial Variance Report for Period Ending October 31, 2017

Decision Required:

No decision is required – for information only.

Recommendation:

That Council reviews the attached Financial Variance Report for the period ending October 31, 2017.

Background:

This report identifies current financial information for Revenue, Council and Committee expenses and Operations and Administrative expenses. Variances are reported when they are 10% over or under budget. Some variances that do not fit these criteria are reported on as general interest for Council.

Revenue:

Note: Total Revenue for this period shows an overall positive variance of \$56,658. The bulk of this revenue stream includes deferred income from 2017 optician renewals, new optician applications and registrations, optician reinstatements and any penalties levied (late fees, reinstatement fees).

Council & Committee Expenditures:

Note: Total Council and Committee expenditures for this period show an overall positive variance of \$67,398. Included here are Council and Committee member honoraria and expenses for attendance at meetings of the Council and any committees on which they sit, FHRCO Discipline Committee member training sessions and PLAR interview days for Registration Committee members.

Operations & Administration Expenditures:

Note: Total Operations & Administration expenditures for this period shows an overall positive variance of \$481,425 Included are College operational and administrative expenses such as communications activities, consultants, new database development and ongoing IT service and maintenance, external personnel which includes examiners and models for the National Registration Exams, external relations activities, general operational expenses, rent and salaries.

Total Accumulated Surplus/Deficit to October 31, 2017:

Surplus year-to-date (revenue less expenditures)	\$ 909,555
Surplus (deficit) beginning of the year	<u>\$ 3,094,593</u>
Total Accumulated Surplus/Deficit	<u>\$ 4,004,148</u>

Cash Position at October 31, 2017:

Cash in Bank:	\$ 457,137
Total Investments:	<u>\$ 2,789,706</u>
Total	<u>\$ 3,246,843</u>

Summary of Recommendations:

For review only.

COLLEGE OF OPTICIANS OF ONTARIO - FINANCIAL VARIANCE REPORT TO COUNCIL

December 5, 2017 Council Meeting

		For the period ending October 31, 2017	
	Budget 2017	October 31, 2017	Variance
Total Revenue	\$ 2,700,000	\$ 2,756,658	\$ 56,658
National Exam Revenue	\$ 122,000	\$ 62,650	\$ (59,350)
Interest & Investment Revenue	\$ 30,000	\$ 42,827	\$ 12,827
Miscellaneous Revenue	\$ 35,000	\$ 39,855	\$ 4,855
Optician Revenue	\$ 2,483,000	\$ 2,563,784	\$ 80,784
Student/Intern Revenue	\$ 30,000	\$ 47,542	\$ 17,542
Council & Committee	\$ 141,000	\$ 73,602	\$ 67,398
Council	\$ 45,000	\$ 24,457	\$ 20,543
Discipline	\$ 20,000	\$ 2,820	\$ 17,180
Executive	\$ 8,500	\$ 4,711	\$ 3,789
Fitness to Practice	\$ -	\$ -	\$ -
Governance	\$ 3,500	\$ 4,279	\$ (779)
Investigations, Complaints & Reports	\$ 17,500	\$ 12,646	\$ 4,854
Patient Relations	\$ 2,500	\$ -	\$ 2,500
Quality Assurance	\$ 15,000	\$ 11,153	\$ 3,847
Registration	\$ 25,000	\$ 12,555	\$ 12,445
Miscellaneous Projects	\$ 4,000	\$ 980	\$ 3,020
Operations & Administration	\$ 2,194,665	\$ 1,713,240	\$ 481,425
Communications	\$ 42,780	\$ 29,817	\$ 12,963
Consulting	\$ 177,800	\$ 85,560	\$ 92,240
Database	\$ 80,000	\$ 127,444	\$ (47,444)
External Personnel	\$ 55,000	\$ 28,885	\$ 26,115
External Relations	\$ 48,000	\$ 19,589	\$ 28,411
General Operational	\$ 155,000	\$ 117,728	\$ 37,272
Investigator	\$ 20,000	\$ 3,566	\$ 16,434
IT Requirements	\$ 91,000	\$ 69,318	\$ 21,682
Legal	\$ 175,000	\$ 132,337	\$ 42,663
Postage	\$ 15,000	\$ 7,683	\$ 7,317
Printing	\$ 22,000	\$ 14,173	\$ 7,827
QA Portfolio Hard Costs	\$ 63,319	\$ 25,890	\$ 37,429
Rent	\$ 198,766	\$ 159,172	\$ 39,594
Salaries	\$ 906,500	\$ 786,220	\$ 120,280
Strategic Initiatives	\$ 57,000	\$ 21,628	\$ 35,372

Notes to Year-to-Date Variances for the period ending October 31, 2017

Revenue:

Note: Total Revenue for period ending October 31, 2017 shows an overall positive variance of \$56,658.

National Examination Revenue	Two National Registration Examination sessions were held at Georgian College in 2017 (May and October). Spring Session: 77 eyeglasses and 102 contact lens candidates Fall Session: 128 eyeglasses and 152 contact lens candidates The fall session was the largest session conducted to date. Earned exam revenue of \$98,000 is not yet reflected.
Interest & Investment Revenue	Revenue in this stream is over the 2017 budgeted amount due to increased College investments in 2017.
Miscellaneous Revenue	Revenue in this stream is over budget. Major contributing areas include revenue from CE activity accreditation, court costs owed in UPC matters, discipline costs owed, PLAR application fees and fees for file review for reinstating members who have not been registered for three years or more. The largest contributor to this stream to date is continuing education activity accreditation.
Optician Revenue	Revenue in this stream is over the 2017 budget. This revenue stream includes Optician renewals, new Optician applications and registrations, penalties, reinstatements and renewals. New optician registration has increased by approximately 33% from 2016 in the same period.
Student/Intern Revenue	Revenue in this stream is over budget. Student and Intern renewals are due on September 1 of each year. This stream includes new student/intern applications and registration, penalties, reinstatements and renewals. New student/intern registration has increased by approximately 71% from 2016 in the same period.

Council & Committee Expenses:

Note: Total expenses for Council and Committees shows an overall positive variance of \$67,398 for the period ending October 31, 2017. Expenses for Council and Committees include honoraria and associated meeting expenses for elected and appointed members.

Council	Council expenditures are currently under budget. Actual: 3 Council Meeting days; 1 Strat/Orientation Day Budgeted: 4 Council Meeting days; 1 Strat/Orientation Day
Discipline	Discipline expenditures currently under budget. Actual: No hearings held Budgeted: 5 Discipline Hearing days <i>There is one discipline hearing currently scheduled for November 6, 2017. At the time the budget was set, the expectation was that more hearings would be held in 2017 than the actual for the year. Other than the Nov. 6 hearing, no other hearings are scheduled for 2017. Discipline expense to date does not reflect the FHRCO discipline training that took place in late October.</i>
Executive	Executive expenditures are currently under budget. Actual: 3 in-person meetings; 1 conference call Budgeted: 4 in-person meetings; conference calls as required

Governance	Governance expenditures are slightly over budget. Actual: 3 in-person; 1 webinar Budgeted: 3 in-person meetings; conference calls as required
Investigations, Complaints & Reports	ICRC expenditures are currently under budget. Actual: 2 in-person full committee meetings (includes panel meetings); 15 panel meetings (some in conjunction with full committee meetings) Budgeted: 4 In-person full committee meetings, panel meetings, conference calls as required.
Patient Relations	Patient Relations expenditures are currently under budget. Actual: No meetings to date Budgeted: 2 in-person meetings; conference calls as required
Quality Assurance	Quality Assurance expenditures are currently under budget. Actual: 2 full committee in-person meetings; 3 full committee webinars; 4 panel webinars; CE accreditations as required Budgeted: 3 in-person meetings; webinars/conference calls as required; CE accreditations as required
Registration	Registration expenditures are currently under budget. Actual: 2 in-person meeting; 5 PLAR interview days; 2 conference calls/webinars Budgeted: 2 in-person meetings; 8 PLAR interview days; webinars/conference calls as required
Miscellaneous Projects	Miscellaneous Projects expenditures are currently under budget.
<i>General</i>	Includes expenses not set out as other line items (i.e. miscellaneous ongoing honoraria claims)
<i>Professional Misconduct Reg Ad-Hoc</i>	Actual: 1 in-person meeting Budgeted: 1 in-person meeting

Operations & Administration Expenses

Note: Total expenses for Operations and Administration shows an overall positive variance of \$481,425 for the period ending October 31, 2017.	
Communications	This line item is currently under budget and includes the College's participation in the OCC's public awareness initiative and funds for College-specific communications activities. Projects related to the College-specific activities include the clinic regulation project, french translation project and College logo redesign.
Consulting	This line item is currently under budget. General consulting includes the cost of the College's independent Council chair, fees for committee orientation and HR activities when required. Work on the new database for the College continues to be managed and monitored by an IT consultant. The College's new on-line renewal portal went live successfully on October 31. A jurisprudence module on communications has been developed and is awaiting piloting and subsequent approval of the Patient Relations Committee.
Database	This line item is over budget. Expenses are related to the building and launching of the optician and student/intern on-line renewal portals. As noted above the optician on-line renewal portal went live successfully on October 31. While the College had set aside funds for this project, more work than budgeted for was required to refine the portal and facilitate the government's new transparency requirements that were not anticipated at the time the budget was set.

External Personnel	This line item is currently under budget. It includes National Registration Exams examiners and models, expert witness expense and external PLAR interviewers. The spring National Registration Exams took place in May at Georgian College. It is expected that this line item will be over budget when the expenses associated with the Fall National Registration Exams are realized. The number of candidates examined at the fall session was much higher than anticipated and was the largest session held to date.
External Relations	This line item is under budget. It includes expenses associated with National Meetings, Georgian and Seneca Advisory Committee meetings, participation by the President, Registrar, committee members and staff at external events and meetings, National Examination review sessions and participation in continuing education events. Staff regularly presents to students in the full-time and part-time programs at Georgian and Seneca Colleges on jurisprudence and exam processes. The College attended continuing education events in the fall of 2017 some of which are not yet reflected in this report along with the National Meetings held in Calgary in early November, also not yet reflected.
General Operational	This line item is currently under budget. It includes bank and interest charges, bookkeeping expense, extraneous committee expenses (refreshments, etc), CPP expense for council and committee members, extraneous exam related expenses (accommodation for examiners, catering, room rental, etc), extraneous legal expense (space rental for off-site discipline hearings), MasterCard and Visa fees, office supplies, College insurance, general office expenses (shredding, off-site file storage, petty cash, etc). It is expected that with on-going expenses, the budgeted amount will be met.
Investigator	This line item is currently under budget. Investigators are utilized on an as-needed basis.
IT Requirements	This line item is currently under budget. It reflects the hard costs to support the College's computer systems, hosting and licensing costs of the new database, e-mail hosting and updates to the website and virtual boardroom. It is anticipated that by year-end expenses will reflect the budgeted amount.
Legal	This line item is currently under budget. It includes external legal services for discipline and unauthorized practice matters, general advice to the College as required, independent legal counsel in discipline matters, and human resources. One Discipline Hearing is scheduled for the fall. The College has experienced an increase in the use of external legal counsel for ICRC training and advice, an increase in complaints and unauthorized practice matters where external legal counsel advice was sought, and an increase in the utilization of an external HR lawyer due to staffing changes.
Postage	This line item is under budget. Expenses include postage meter replenishment for all users, XpressPost, notification to members in certain circumstances and mailings relating to Council elections process. Mailing of ballots for the 2016 Council elections (if required) is not yet reflected. As the College moves towards a paperless environment with emphasis on e-mail correspondence with members and other stakeholders it is anticipated that postage costs will be less in future years.
Printing	This line item is under budget. Expenses include general office printing, annual reports, newsletters, office stationery, Council elections requirements, and in 2016 the cost of updated ANSI standards. The College receives favourable rates on bulk purchase of these standards and enters into a cost recovery agreement with provincial regulators who also wished to purchase the standards.

Quality Assurance - Portfolio Hard Costs	This line item is currently under budget. Costs tracked here include the multi-source feedback random selection process, printing, mailing, courier, practice assessment portal, peer assessor training, and peer assessments. Six peer assessments have been carried out to date in 2017 however costs for five assessments are not yet reflected. The expense of one temporary staff hired to help with the portfolios is reflected in the salaries line.
Rent	The College entered into a new lease agreement in 2017. First and last month's rent was deposited with the new landlord with the first month's rent utilized in July. The College's existing lease with Oxford Properties allowed for six months worth of base rent free. The six month base-rent free period is from April through September 2017. During this period the College was responsible for additional rent. As our new lease became effective July 1, 2017 (first month paid) the College has paid one month's rent (August) to the new landlord and will continue to pay the base rent at the old office space until the end of September. This means that for July, August and September the College will have paid rent to two landlords.
Salaries	This line item is currently under budget. It includes staff benefits, CPP employer expense, EHT expense, EI employer expense, staff salaries, temporary staff expense, RRSP contributions and vision care plan. The College experienced a larger than normal staff turnover in 2017 and two new co-ordinator positions were developed and filled in Quality Assurance and ICR. As noted above the cost of one temporary staff for Quality Assurance is included here.
Strategic Initiatives	This line item is currently under budget and sets out initiatives/activities associated with the College's Strategic Plan where hard costs are realized. To date activities have included initial work on the development of a new website, new logo and will include costs associated with the on-going review of the College's Governance Manual. Administration initiatives to date in 2017 include the graphic and posting component of jurisprudence modules and the development of an internal file retention policy.

BRIEFING REPORT

REPORT TOPIC: Financial Planning and Budgeting Policy (II-05)

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: December 5, 2017

REPORT PURPOSE:

☒ Policy Development/Enhancement/Regular Review/Approval

☐ Ends Policy

☒ Operational Boundaries Policy

☐ Council-Registrar/CEO Relationship Policy

☐ Governance Process Policy

☐ Council Implementation of Policy

☐ Council-Registrar/CEO Relationship Policy

☐ Governance Process

☐ Monitoring Report

☐ Ends

☐ Operational Boundaries

☐ Ownership Linkage Report

☐ Incidental Report

☐ Registrar/CEO

☐ Council President

☐ Other: Briefing Report

BACKGROUND

The policy topic "Financial Planning and Budgeting" (OB II-05) falls under the Operational Boundaries policy quadrant. This policy is designed to put operational boundaries and risk tolerances around the financial planning and budgeting process and structure at the College of Opticians of Ontario.

This Operational Boundaries Policy was originally approved on September 20, 2011 and had not been reviewed since it was initially implemented. It was initially reviewed by the Governance Committee on September 7 and again on October 23, 2017. The Governance Committee completed final review in October and is now sending this proposed refreshed policy for Council discussion and approval in December.

The original policy is outlined in Figure 1 below. The proposed updated policy is outlined in Figure 2.

RECOMMENDED MOTION

That the COO Council approve the adoption of the revised Financial Planning and Budgeting (OB II-05) Policy.

**FIGURE 1
CURRENT POLICY**

POLICY TYPE:	GOVERNANCE PROCESS
POLICY TITLE:	Financial Planning and Budgeting
Approval Date:	September 20, 2011

Financial planning for any fiscal year, or the remaining part of any fiscal year, shall be in accordance with Council priorities, objectives and this policy, shall promote fiscal security, and be derived from explicit plans.

Accordingly, the Registrar must ensure budgeting which:

1. Is based on an annual plan for the fulfillment of the Council's objectives and priorities.
2. Provides the funds reasonably necessary for the Council to fulfill its regulatory responsibilities and governance objectives.
3. Includes a credible projection of revenues and expenses, separation of capital and operational items, cash flow, and disclosure of planning assumptions.
4. Prevents the expenditure, in any fiscal year, of more funds than are conservatively projected to be received in that period, unless the Council expressly authorizes the use of reserves for a specific purpose.

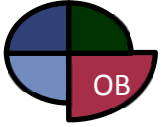
The Registrar shall report to Council annually with the budget.

Figure 2 outlines proposed updates to the current policy. The updates include:

- A proposed change to the policy template header that is aligned with the principles of the policy governance approach and Council's job products.
- Figure 2 is written with similar policy criteria as a limitation to operational means versus a prescription for operational means. This concept was discussed at the Governance Committee meeting in September and will be discussed at the December Council Governance Development and planning Retreat meeting.

FIGURE 2
PROPOSED UPDATES TO CURRENT POLICY

DRAFT FOR COUNCIL DISCUSSION AND APPROVAL

POLICY TITLE: FINANCIAL PLANNING AND BUDGETING	POLICY SECTION: OPERATIONAL BOUNDARIES	POLICY NO: II-05	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 3 YEARS	MONITORING OF CEO & REGISTRAR FREQUENCY: ANNUAL	MONITORING METHOD: INTERNAL REPORT
DATE APPROVED: <ul style="list-style-type: none"> Discussed at September and October Governance Committee. To October Council meeting for information. To Council in December 2017 for discussion and approval. 	DATE REVIEWED / REVISED:	PRESIDENT'S SIGNATURE:	

The CEO & Registrar shall not permit financial planning that allocates resources in a way that deviates materially from Council-stated Ends priorities, that risks fiscal security, or that is not derived from a multi-year plan.

Further, the CEO & Registrar shall not:

1. Operate without a multi-year strategic plan that can be expected to achieve a reasonable interpretation of the Ends.
2. Permit financial planning that doesn't assign the funds reasonably necessary for the College to fulfill its regulatory responsibilities and strategic outcomes.
3. Permit financial planning that does not provide the amount determined annually by the Council for the Council's direct use during the year, such as costs of fiscal audit, Council ongoing development, Council and committee meetings, Council legal fees, and ownership linkage activities.
4. Permit planning to omit regular analysis of strengths, weaknesses, opportunities, and threats, including external environmental issues, which may impact the organization's short and long-term future and budget.
5. Permit financial planning that omits credible projection of revenues and expenses, separation of capital expenditures and operational expenses, cash flow projections, and disclosure of planning assumptions.

AGENDA ITEM: 6.1.1

6. Plan the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period, unless the Council expressly authorizes the use of reserves for a specific purpose.
7. Permit planning that endangers the fiscal soundness of future years or ignores the building of organizational capability sufficient to achieve Ends (strategic outcomes) in future years.
8. With regard to the budget cycle, the CEO & Registrar will not build the budget without:
 - 8.1 Seeking Council input on key budget planning assumptions prior to the last Council meeting of the year.
 - 8.2 Rendering the first draft of the budget no later than the last Council meeting of the year.
 - 8.3 Ensuring any significant changes by Council are reflected and sent to Council for approval by the first Council meeting of the year.

BRIEFING REPORT

REPORT TOPIC: Corporate Identity, Public Image, and Communications Policy (II-60)

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: December 5, 2017

REPORT PURPOSE:

☒ Policy Development/Enhancement/Regular Review/Approval

☐ Ends Policy

☒ Operational Boundaries Policy

☐ Council-Staff Relationship Policy

☐ Governance Process Policy

☐ Council Implementation of Policy

☐ Council-Staff Relationship Policy

☐ Governance Process

☐ Monitoring Report

☐ Ends

☐ Operational Boundaries

☐ Ownership Linkage Report

☐ Incidental Report

☐ CEO & Registrar

☐ Council President

☐ Other: Briefing Report

BACKGROUND

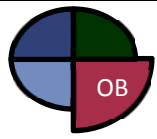
The policy topic “Corporate Identity, Public Image, and Communications” (II-60) falls under the Operational Boundaries policy quadrant. This policy is designed to establish the risk boundaries around the use of the COO’s name, corporate image, and identity. The Council does not have a current policy on this topic. Outlined in Figure 1 below is the policy which is being proposed by the Governance Committee.

RECOMMENDED MOTION

That the COO Council approve the adoption of the revised Corporate Identity, Public Image, and Communications (OB II-60) Policy.

FIGURE 1 - PROPOSED NEW POLICY

FOR COUNCIL DISCUSSION AND APPROVAL

POLICY TITLE: CORPORATE IDENTITY, PUBLIC IMAGE, AND COMMUNICATION	POLICY SECTION: OPERATIONAL BOUNDARIES	POLICY NO: II-60	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 5 YEARS	MONITORING OF CEO & REGISTRAR FREQUENCY: EVERY 2 YEARS	MONITORING METHOD: INTERNAL REPORT
DATE APPROVED: <ul style="list-style-type: none"> Discussed at November Governance Committee Ready for December Council meeting for discussion and approval 	PRESIDENT'S SIGNATURE:		
DATE REVIEWED / REVISED:			

The College of Opticians of Ontario (COO) corporate identity and public image are key components of the reputation of the COO and are considered to be valuable assets by the Council. The corporate identity is manifested in multiple ways but must always represent the Ends and values of the COO.

The CEO & Registrar may not cause or allow any activity that would jeopardize the corporate identity and reputation of the COO.

Accordingly, he or she may not:

1. Change the organization's name or materially alter the corporate identity and seal without Council approval.
2. Approve the use of any aspect of the corporate identity for use with any external product, program, or initiative which is not consistent with the COO's Ends and values.
3. Use the corporate seal for anything that deviates from the Council's Signing Authority Policy.
4. Operate without establishing an effective internal and external corporate communications and public relations approach which appropriately represents the COO corporate identity.

BRIEFING REPORT

REPORT TOPIC: Unity of Control (III-02)

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: December 5, 2017

REPORT PURPOSE:

- | | |
|---|---|
| <input checked="" type="checkbox"/> Policy Development / Enhancement / Regular Review/Approval | <input type="checkbox"/> Monitoring Report |
| <input type="checkbox"/> Ends Policy | <input type="checkbox"/> Ends |
| <input type="checkbox"/> Operational Boundaries Policy | <input type="checkbox"/> Operational Boundaries |
| <input checked="" type="checkbox"/> Council-Staff Relationship Policy | <input type="checkbox"/> Ownership Linkage Report |
| <input type="checkbox"/> Governance Process Policy | <input type="checkbox"/> Incidental Report |
| <input type="checkbox"/> Council Implementation of Policy | <input type="checkbox"/> CEO & Registrar |
| <input type="checkbox"/> Council-Staff Relationship Policy | <input type="checkbox"/> Council President |
| <input type="checkbox"/> Governance Process | <input type="checkbox"/> Other: Briefing Report |

BACKGROUND

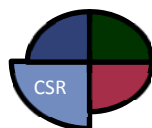
The policy topic “Unity of Control” (III-02) falls under the Council-Staff Relationship policy quadrant. This policy is designed to clarify the single line of accountability of the CEO & Registrar to the full Council. The Council does not currently have a policy on this topic. Figure 1 is a draft policy to be incorporated into the COO Council Governance Policy Manual.

RECOMMENDED MOTION

That the COO Council moves to approve the adoption of the new policy on Unity of Control (Council-Staff Relationship Policy CSR-III-02).

FIGURE 1
DRAFT POLICY FOR REVIEW

FOR COUNCIL DISCUSSION AND APPROVAL

POLICY TITLE: UNITY OF CONTROL	POLICY SECTION: COUNCIL-STAFF RELATIONSHIP	POLICY NO: III-02	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 4 YEARS	MONITORING OF BOARD COMPLIANCE WITH POLICY CRITERIA FREQUENCY: TBA	
DATE APPROVED: <ul style="list-style-type: none">Discussed at October 23 Governance CommitteeReady to go to December 2017 Council for discussion and approval	PRESIDENT’S SIGNATURE:		
DATE REVIEWED / REVISED:			

Only officially passed motions of the Council are binding on the College of Opticians of Ontario CEO & Registrar.

Accordingly:

1. The CEO & Registrar takes policy direction from the full Council by motion, i.e. policy decisions.
2. Decisions or Instructions of individual Council Members, Officers, or committees are not binding on the CEO & Registrar except in instances when the Council has specifically authorized such exercise of authority to committees to carry out the regulatory works of the College.
3. In the case of Council Members or committees requesting information or assistance without Council authorization, the CEO & Registrar can decline such requests that require, in the CEO & Registrar's opinion, a material amount of staff time or funds or are disruptive to the achievement of Ends Policies and/or the implementation of the Strategic Plan. Further clarification from Council can be sought by the CEO & Registrar.
4. Only the Council acting as a body can employ, terminate, discipline, or change the conditions of employment of the CEO & Registrar.

BRIEFING REPORT

REPORT TOPIC: Delegation to the CEO & Registrar (III-03)

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: December 5, 2017

REPORT PURPOSE:

☒ Policy Development/Enhancement/Regular Review/Approval

☐ Ends Policy

☐ Operational Boundaries Policy

☒ Council-Staff Relationship Policy

☐ Governance Process Policy

☐ Council Implementation of Policy

☐ Council-Staff Relationship Policy

☐ Governance Process

☐ Monitoring Report

☐ Ends

☐ Operational Boundaries

☐ Ownership Linkage Report

☐ Incidental Report

☐ CEO & Registrar

☐ Council President

☐ Other: Briefing Report

BACKGROUND

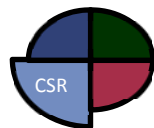
The policy topic "Delegation to CEO & Registrar" (III-03) falls under the Council-Staff Relationship policy quadrant. This policy is designed to outline both the empowerment related to and the expectations of Council for the CEO & Registrar related to interpreting and achieving Council policies. The Council does not currently have a policy on this topic. Figure 1 is a draft policy to be incorporated into the COO Council Governance Policy Manual.

RECOMMENDED MOTION

That the COO Council moves to approve the adoption of the new policy on Delegation to the CEO & Registrar (Council-Staff Relationship Policy CSR-III-03).

FIGURE 1 - DRAFT POLICY FOR REVIEW

FOR COUNCIL DISCUSSION AND APPROVAL

POLICY TITLE: DELEGATION TO THE CEO & REGISTRAR	POLICY SECTION: COUNCIL-STAFF RELATIONSHIP	POLICY NO: III-03	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 4 YEARS	MONITORING OF BOARD COMPLIANCE WITH POLICY CRITERIA FREQUENCY: TBA	
DATE APPROVED: <ul style="list-style-type: none">Discussed at October 23 Governance CommitteeReady to go to December Council meeting for discussion and approval	PRESIDENT’S SIGNATURE:		
DATE REVIEWED / REVISED:			

BACKGROUND

In keeping with Council policy IV-01, Governance Approach Policy, the CEO & Registrar has the responsibility for achieving specific results and the authority necessary to carry out this work. The purpose of this policy is to outline the manner in which the Council delegates authority to the CEO & Registrar.

All Council authority delegated to staff is delegated through the CEO & Registrar, so that all authority and accountability of staff is considered to be the authority and accountability of the CEO & Registrar.

POLICY

The Council instructs the CEO & Registrar through written policies that prescribe the organizational Ends to be achieved and that limit the means (i.e., that describe organizational situations and actions to be avoided establishing governance risk tolerances). The CEO & Registrar is to use any reasonable interpretation of these policies.

Accordingly:

1. The Council will develop policies directing the CEO & Registrar to achieve specified results, for specified recipients at a specified worth or priority. These policies will be developed systematically from the broadest, most general level to more defined levels, and will be called Ends policies. All issues that are not "Ends" issues as defined above are "Means" issues.
2. The Council will develop policies that limit the latitude the CEO & Registrar may exercise in choosing the organizational means. These limiting policies will describe those practices, activities, decisions and circumstances that the Council would find unethical or imprudent, and therefore unacceptable, even if they were to be effective. These limitations policies will be developed systematically from the broadest, most general level to more defined levels and they will be called Operational Boundaries policies. The Council will not prescribe organizational means (i.e., prescribe what means to use or how to do the job) delegated to the CEO & Registrar. The Council will instruct the CEO &

Registrar on means through limiting the means, i.e. through identifying the boundaries of Executive Authority.

3. Once the Council establishes either an Ends or an Executive Limitation Policy, the CEO & Registrar is expected to develop an interpretation of that policy in order to develop the approach to 'operationalize' the policy. In the case of Ends Policies, the Council will review the CEO & Registrar's interpretation for reasonableness. This interpretation will contain operating definitions, which include measurable operating outcomes including appropriate targets where applicable. The Ends Interpretation can be updated at any time by the CEO & Registrar, who should notify the Council of any material updates. For Operational Boundaries Policies, the CEO & Registrar's interpretation can be provided at the time the Monitoring Report is delivered to the Council for review and evaluation for reasonableness.
4. As long as the CEO & Registrar uses *any reasonable interpretation* of the Council's Ends and Operational Boundaries policies, the CEO & Registrar is authorized to establish all further operational policies, make all decisions, take all actions, establish all practices, and develop all activities. Such decisions of the CEO & Registrar shall have full force and authority as if decided by the Council. This does not prevent Council from obtaining information in the delegated areas except that which the legislation identifies as confidential and/or personal information.
5. The Council may change its Ends and Operational Boundaries policies, thereby shifting the boundary between Council and CEO & Registrar domains of authority. As long as any particular delegation is in place, and as long as the CEO & Registrar's decisions are reasonable, the Council will support these decisions.

BRIEFING REPORT

REPORT TOPIC: Council Support of the CEO & Registrar (III-08)

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: December 5, 2017

REPORT PURPOSE:

☒ **Policy Development/Enhancement/Regular Review/Approval**

☐ Ends Policy

☐ Operational Boundaries Policy

☒ **Council-Staff Relationship Policy**

☐ Governance Process Policy

☐ Council Implementation of Policy

☐ Council-Staff Relationship Policy

☐ Governance Process

☐ Monitoring Report

☐ Ends

☐ Operational Boundaries

☐ Ownership Linkage Report

☐ Incidental Report

☐ CEO & Registrar

☐ Council President

☐ Other: Briefing Report

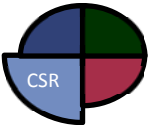
BACKGROUND

The policy topic "Council Support of the CEO & Registrar" (III-08) falls under the Council-Staff Relationship policy quadrant. This policy is designed to outline the commitment that the Council has made to support the success of the CEO & Registrar in the position. The Council does not currently have a policy on this topic. Figure 1 is a draft policy to be incorporated into the COO Council Governance Policy Manual.

RECOMMENDED MOTION

That the COO Council move to approve the adoption of the new policy Council Support of the CEO & Registrar (CSR III-08).

FIGURE 1 - DRAFT POLICY FOR REVIEW

POLICY TITLE: COUNCIL SUPPORT OF THE CEO & REGISTRAR	POLICY SECTION: COUNCIL-STAFF RELATIONSHIP	POLICY NO: III-08	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 3 YEARS	MONITORING OF BOARD COMPLIANCE WITH POLICY CRITERIA FREQUENCY: TBA	
DATE APPROVED: Ready for discussion at October 23 Governance Committee to go COO December Council meeting	PRESIDENT’S SIGNATURE:		
DATE REVIEWED / REVISED:			

BACKGROUND

The Council is responsible for:

- a) Setting policy direction to lead the CEO & Registrar and their team in meeting the needs of Ontarians, and
- b) Monitoring progress and achievement of Ends Policies within Operational Boundaries Policies.

In support of this, the Council also has an obligation to create a supportive environment and to provide tangible support to the CEO & Registrar and the important role served he/she serves.

Along with evaluating the CEO & Registrar, the Council has an obligation to ensure that it is supporting the learning and development of the CEO & Registrar. The policy below exists to clarify this part of the Council/CEO & Registrar relationship and to make this commitment to support transparency.

POLICY

The Council will ensure that there is a mechanism in place to provide input, dialogue, support, and development for the CEO & Registrar by:

- Monitoring the CEO & Registrar's results (through the Council Monitoring of the CEO & Registrar Policy), providing feedback on the results achieved, and contributing to CEO & Registrar's learning.
- Being available to the CEO & Registrar to discuss competing Ends priorities as needed and to give input to redefining priorities among the Ends as required.
- Being available for consultation and support through informal discussion with the Chair, Vice Chairs and one or more members of the Executive Committee or the Council as requested by the CEO & Registrar. (Note: The CEO & Registrar is not obliged to follow any particular course of action as a result of these informal, consultation discussions).
- Providing reasonable resources and support for the ongoing learning and professional development of the CEO & Registrar in areas relevant to achievement of the COO's Ends Policies.

BRIEFING REPORT

REPORT TOPIC: Council Member Job Description Policy (IV-10)

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: December 5, 2017

REPORT PURPOSE:

☒ Policy Development/Enhancement/Regular Review/Approval

☐ Ends Policy

☐ Operational Boundaries Policy

☐ Council-Staff Relationship Policy

☒ Governance Process Policy

☐ Council Implementation of Policy

☐ Council-Staff Relationship Policy

☐ Governance Process

☐ Monitoring Report

☐ Ends

☐ Operational Boundaries

☐ Ownership Linkage Report

☐ Incidental Report

☐ CEO & Registrar

☐ Council President

☐ Other: Briefing Report

BACKGROUND

The policy topic "Council Member Job Description Policy" (IV-10) falls under the Governance Process policy quadrant. This policy is designed to clearly articulate the scope and expectations of individual Council Members.

The Council does not have a specific Council Member Job Description Governance Process Policy; however, on May 31, 2010 the Council approved an overarching description on Governance Roles and Responsibilities which was intended to outline the components of effective governance. The section called 'Individual Council Members' has been extracted from the role statements portion of this overarching policy and is shared in Figure 1 below.

The Governance Committee reviewed and further fine-tuned the proposed policy in (see Figure 2) from the following perspectives:

- Is the policy relevant?
- Are there any areas of the draft policy that upon review appear unclear?
- Do any additional policy criteria need to be added in order to fully reflect the role of a Council Member?

RECOMMENDED MOTION

That the COO Council moves to approve the new Council Member Job Description (GP IV-10) Policy as outlined in Figure 2. Further, the relevant sections of the legacy policy on Roles and Responsibilities dated March 22, 2010 on What is Governance?, Components of Governance, and section b) Individual Council Member be rescinded.

FIGURE 1 CURRENT POLICY

Policy on Governance Roles and Responsibilities

What is Governance?

The Working Group started from the proposition that “governance” is the process of developing consensus within an organization as to who does what and then ensuring that it is done well.

Components of Governance

Effective governance meets the four “E’s”:

1. **Role Explanation.** There should be a clear written description of the mandate and responsibilities of each major entity within the organization.
2. **Role Education.** Each person involved in the direction and operations of the College should be orientated as to their mandate and responsibilities. They should understand how they relate to the other entities within the organization.
3. **Role Evaluation.** Each entity within the organization should be accountable for their activities. They should report on what they have done and receive feedback on their performance.
4. **Role Enforcement.** Where a person or entity within the organization is not participating appropriately in the affairs of the College despite a clear explanation of their role, appropriate education, and evaluation of their participation, then there needs to be a means of enforcing the organization’s expectations.

An organization uses a number of tools to assist those involved in its affairs to perform their role effectively. For the College of Opticians of Ontario, these tools include the following:

- (a) Clear, written role descriptions.
- (b) A systematic, ongoing educational program for all Council, committee and staff members.
- (c) An official Code of Conduct.
- (d) By-laws that support good governance.
- (e) Rules of Order for Council and committee meetings.
- (f) A formal written document signed by Council and committee members annually.
- (g) Supporting policies and procedures.

Role Statements

The governance components for the major entities for the College of Opticians are as follows.

(b) Individual Council Members

(i) Role Explanation

Role: Individual Council Members assist in policy making and contribute to making the decisions of the Council. Council members also serve on the committees of the College.

Relationship with others: Individual Council Members relate to others only through the Council / Committees they serve on. For example, a Council or committee member would not unilaterally approach a school to discuss the preparation of a College competencies document.

Any such communications would be agreed upon by Council or the relevant committee and generally would be done through staff, the chair or an officially delegated Council or committee representative. Similarly, individual Council or committee members would not unilaterally approach College legal counsel on an issue; communications are done through the Registrar's office (unless the President needs advice in relation to the Registrar). Council and committee members need to be rigorous in their informal communications with others; listening to others comment on College issues or even advising them of publicly available College information may be acceptable in some circumstances. However, purporting to speak on behalf of the College, Council or a committee is not.

(ii) Education

- At the first Council meeting of each year (January) each Council member will receive a quarter day formal education session about governance issues.
- Any new person appointed or elected to the Council receives a half to full day orientation as soon as possible after their appointment. The orientation will be provided by the Registrar or his or her delegate. The President may participate in at least a portion of the orientation where feasible. The orientation will comprehensively cover all aspects of governance and related expectations (e.g., expenses and fees, forms, conflicts of interest, Code of Conduct, Rules of Order, confidentiality).
- Where feasible, any new person appointed or, where appropriate, elected to the Council will be given a tour of a suitable facility to orientate them to opticianry practice.
- Each new person appointed or elected to the Council shall be given, either on paper or electronically, a resource manual containing all relevant governance documents.
- Upon appointment and then annually afterwards, Council members shall review and sign the College's Fiduciary Acknowledgement Form.
- Upon appointment and then annually afterwards, Council members shall complete a form provided by the Registrar setting out their professional affiliations to assist in identifying and addressing conflicts of interest.

(iii) Evaluation

The attendance records of all Council members will be kept for each meeting. The attendance records will be available to the Council and Executive Committee.

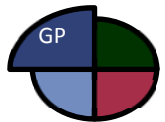
(iv) Enforcement

The professional members of the Council are subject to election by the profession. Public members of Council can be removed by the government. Under the by-laws, a Council member could be subject to disqualification for breach of the COO Code of Conduct or the by-laws.

Figure 2 outlines proposed updates to the current policy.

FIGURE 2
PROPOSED REVISIONS TO CURRENT POLICY

FOR COUNCIL DISCUSSION AND APPROVAL

POLICY TITLE: COUNCIL MEMBER JOB DESCRIPTION	POLICY SECTION: GOVERNANCE PROCESS	POLICY NO: IV-10	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 3 YEARS	MONITORING OF BOARD COMPLIANCE WITH POLICY CRITERIA FREQUENCY: TBA	
DATE APPROVED: <ul style="list-style-type: none">Discussed at October 23 Governance Committee, revisions requested, and returned to Governance Committee for final review in NovemberSubmission to December Council meeting for discussion and approval	PRESIDENT’S SIGNATURE:		
DATE REVIEWED / REVISED:			

In agreeing to stand for election and accept appointment to the Council, Council Members will act as stewards on behalf of the broader ownership in the best interests of the College of Opticians of Ontario (COO) beneficiaries.

Individual Council Members will meet the job responsibilities outlined below:

SERVICE

Council Members:

- Will govern and participate in Council, Council Committee and Working Group meetings consistent with the Governance Philosophy Policy and the Terms of Reference for the Council.
- Will be prepared to serve on at least one Committee of the Council and potentially a Working Group as needed.
- Will, within their skill sets, assume specific assignments such as leading a Committee or Working Group, preparing a discussion document for Council consideration or leading a Council discussion.
- Will actively participate in Council meetings to bring forward ideas, perspectives, and expertise in order to assist the Council in making the best decisions.
- Will discuss and develop policy to establish the Ends and long-term strategic outcomes of the COO, the value system of the COO, the limits of authority of the CEO & Registrar, and the processes the Council uses to complete its own work.

PREPARATION

Council Members:

- Are expected to be informed and productive in meetings by reviewing material pre-circulated for Council meetings, prior to the meeting.
- Will be prepared to discuss and vote on matters in the interests of the Beneficiaries and the Ownership of the organization.
- Should seek clarification, as needed, prior to the Council meeting with the CEO & Registrar on any significant agenda items.
- Will generally need to prepare for, travel to, and participate in approximately ten (10) to sixteen (16) Council and Committee meetings per year.
- Must be familiar with Council policy and basic procedure.
- May attend an external continuing education session as approved by the President in consultation with the CEO & Registrar.
- Are expected to attend internal continuing education sessions related to their role as Council and/or Committee Members.

AMBASSADORSHIP

While all Council Members will be called upon, at times, to serve as ambassadors of the College, the President is the official, authorized spokesperson for the Council.

Council Members:

- Will be called upon periodically to serve as ambassadors for the COO by being present at specific events/meetings and/or by serving as a spokesperson when delegated by the President.

ATTENDANCE

- Council Members are expected to attend all Council and Committee meetings as their input is essential and continuity from meeting to meeting is critical. The failure by a Council Member to attend multiple Council and/or Committee meetings may result in the Council Member's disqualification in accordance with the COO by-laws.
- Regrets for an absence should be made to the President and CEO & Registrar. The Council Member may wish to speak directly to the President with regard to the reason for the absence. The President will be responsible for addressing attendance problems on behalf of the Council.

BRIEFING REPORT

REPORT TOPIC: Role of Council Officers Policy (IV-15)

REPORT TO: COO Council

REPORT FROM: COO Governance Committee

DATE: Nov. 21, 2017

REPORT PURPOSE:

☒ **Policy Development/Enhancement/Regular Review/Approval**

☐ Ends Policy

☐ Operational Boundaries Policy

☐ Council-Staff Relationship Policy

☒ **Governance Process Policy**

☐ Council Implementation of Policy

☐ Council-Staff Relationship Policy

☐ Governance Process

☐ Monitoring Report

☐ Ends

☐ Operational Boundaries

☐ Ownership Linkage Report

☐ Incidental Report

☐ CEO & Registrar

☐ Council President

☐ Other: Briefing Report

BACKGROUND

The policy topic "Role of Council Officers" (IV-15) falls under the Governance Process policy quadrant. This policy is designed to describe the fundamental scope/mandate of these positions consistent with COO Bylaws.

The Council does have limited policy criteria on this topic outlined in a document called Policy on Roles and Responsibilities dated March 22, 2010. The relevant content is outlined in Figure 1 below.

Figure 1
Policy on Roles & Responsibilities (March 22, 2010)

The relevant content includes:

(d) President

(i) *Role Explanation*

Role: The President shall be the chair of the Council and the chair of the Executive Committee. The President shall be charged with the general leadership of the affairs and operations of the Council, and such other duties as may, from time to time, be assigned to him / her by the Council,; in accordance with the RHPA, the *Opticianry Act*, the Regulations and the By-laws. The President, together with the Registrar, shall represent the College as its official spokespeople.

When a government related matter arises, the President or his / her designate shall be the first spokesperson.

Relationship with others: The President and the Registrar attend meetings on behalf of the Council.

Other COO's representatives may attend meetings as needed and if requested by the President / Registrar. The President is also the Council's contact person for communication between the Registrar and individual Council / Committee members on governance issues (e.g., to deal with interpersonal conflicts), subject to Council's overriding authority.

(e) Vice-President

(i) Role Explanation

Role: The Vice-President shall, in the absence or inability of the President, perform the duties and exercise the powers of the President and shall perform such other duties as may, from time to time, be assigned on him / her by the Council. The Vice-President shall also be the vice-chair of the Council and the vice-chair of the Executive Committee.

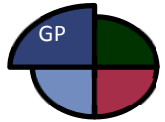
Relationship with others: Only in the absence or inability of the President does the Vice- President carry out the duties of the President.

RECOMMENDED MOTION

That the COO Council moves to approve the new Role of Council Officers (GP IV-15) Policy as outlined in Figure 2. Further, the relevant section of the legacy policy on Roles and Responsibilities dated March 22, 2010 on d) President and e) Vice President be rescinded.

In Figure 2 below a proposed new policy is outlined for discussion.

**FIGURE 2
PROPOSED NEW POLICY**

POLICY TITLE: ROLE OF COUNCIL OFFICERS	POLICY SECTION: GOVERNANCE PROCESS	POLICY NO: IV-15	
APPROVED BY: COUNCIL	REGULAR COUNCIL POLICY REVIEW FREQUENCY: EVERY 3 YEARS	MONITORING OF BOARD COMPLIANCE WITH POLICY CRITERIA FREQUENCY: TBA	
DATE APPROVED: <ul style="list-style-type: none">Discussed at November Governance CommitteeTo December Council meeting for discussion and approval	PRESIDENT’S SIGNATURE:		
DATE REVIEWED / REVISED:			

The Council of the COO has five officers. Two of these officers are the President and the Vice President. Their mandates and job expectations are outlined below.

President of the Council

Mandate of the President of the Council:

The President has the following mandate and purpose:

- To lead and facilitate the Council process and coordinate Council's efforts to govern.
- To be an ex-officio Member of all Council Committees and Working Groups.
- To represent the Council to outside parties and be the authorized spokesperson for the Council.

(Note: The CEO & Registrar is the official, authorized spokesperson for the COO as a whole).

Job Products:

The job products of the President of the Council include:

- Ensuring effective Council process
 - Ensures the Council behaves consistently with its own Governance Process and Governance/Staff Policies.
 - Ensures the integrity and efficiency of the Council process by presiding in a manner which fairly directs the group, promotes participation and adherence to the rules of order, and ensures the intended outcome of Council processes.
 - Ensures the Council achieves governance requirements legitimately imposed upon it by external sources.
 - Serves as the Council Chair and the Chair of the Executive Committee.
- Ensuring that Council decisions and actions are in accordance with the organization's mandate, Ends Policies, and values.
 - Organizes the development of an Annual Council Strategic Agenda/Work Plan which sets goals and priorities for the Council.
 - Sets the Council meeting agendas consistent with the Annual Council Strategic Agenda/Work Plan and the Council Meeting Agenda Policy.
 - Ensures that meeting discussion content and decisions only apply to those issues, which according to the Council policy, clearly belong to the Council to decide and not the CEO & Registrar.
 - Ensures that deliberation is fair, open, thorough but also efficient, timely, orderly and on topic.
 - Maintains an effective working relationship with the CEO & Registrar, other Council Officers, and Council Members to ensure the free flow of information among these individuals.
 - Represents Council's policy positions in meetings with senior government officials, politicians, Council officers of allied organizations and in other instances as determined by the Council or requested by the CEO & Registrar.
 - Chairs and presides at all meetings of the Council, Executive Committee, or any special meeting of the members of the organization. The President may delegate the responsibility to chair all or part of Council meetings.
 - Performs such official (signatory) duties as required by the organization's By-laws.
 - Serves as the official spokesperson for the Council.

President's Authority:

The authority of the President consists of making decisions on behalf of Council that fall within the topics covered by Council policies on Governance Process and Council-Staff Relationship, except where the Council specifically delegates portions of this authority to others. The President is authorized to use any reasonable interpretation of the provisions in these policies. The President is accountable to the full Council for the President's interpretation of Governance Process Policies and Council-Staff Relationship Policies.

- The President is empowered to chair Council meetings with all the commonly accepted power of that position (e.g. ruling, recognizing) in accordance with the Council's Rules of Order.
- The President has no authority to make decisions about Ends and Operational Boundaries policies created by Council. Therefore, the President has no individual authority to supervise or direct the CEO & Registrar as that authority is held by Council.

Note 1: During the absence or inability of the President to act or carry out his/her role, the duties and powers of the President may be exercised by the Vice President.

Term:

- The President will be elected for a one (1) year term in accordance with the By-laws.
- The President may serve a maximum of two (2) consecutive one (1) year terms.

Vice President of the Council

Mandate of the Vice President of the Council:

The Vice President has the following mandate and purpose:

- To exercise the duties and powers of the President in the absence or inability of the President to act or carry out his/her role.
- To support the President by assisting with specific assignments and advice which facilitate effective Council process.
- To serve as the Vice Chair of the Executive Committee.
- To prepare and orientate towards the possibility of becoming the Council President.

Term:

- The Vice President will be elected for a one (1) year term in accordance with the By-laws.
- There is no limit to the number of consecutive terms that the Vice President may serve.



BRIEFING NOTE

TO: Council

FROM: Fazal Khan, Registrar

DATE: December 5, 2017

SUBJECT: OCC Funding Contribution 2018

Background:

The College has participated on a national level through the Opticians Council of Canada (OCC) in various public awareness programs. These programs included the creation of the Licensed Optician brand and its marketing as well as the Love Your Eyes social media campaign and the [Hate Your Job Recruitment Campaign](#). These public awareness initiatives were aimed at creating awareness that opticianry is a regulated profession and impress upon the public the importance of dealing with only regulated eye health professionals.

In 2017 the OCC focused on 'Keeping Opticianry Relevant'. From a regulatory perspective the desire is to ensure a health level of opticians to service the aging population and to offset any trends in attrition.

As part of the focus on keeping the profession relevant the OCC directed some funding towards consultation services from Hill and Knowlton (H&K) Strategies, a Public and Government Relations firm. H&K conducted an environmental scan specific to refraction across the country.

For Consideration:

Each year the OCC looks to its partners to reaffirm financial commitment for the following year.

A revised funding formula was presented and accepted by the Council in December of 2016. Particularly on a per member basis, the smaller Maritime Provinces had borne a heavier financial load per member than the larger provinces such as Ontario and British Columbia. The new formula has the new Associations and Regulators contributing \$10.00 per member.

The College's 2017 contribution to the OCC Public Awareness Campaign was \$26,500.

The OCC is seeking confirmation from the College of Opticians of Ontario for its 2018 financial contribution. The approximate contribution would be \$27,040 based on 2704 members currently registered with the College.

The Executive Committee reviewed the issue and supports a one-year commitment to the OCC.

Action Required:

Council to confirm funding commitment to the OCC for 2018.

BRIEFING NOTE

TO: Council

FROM: Fazal Khan, Registrar

DATE: December 5, 2017

SUBJECT: Mandatory Sexual Abuse Prevention Training
*Draft Policy attached

Background:

Sexual abuse prevention has been a central focus of Bill 87 and the efforts of the Ministry of Health and Long-Term Care. The College has always considered sexual abuse prevention a priority and identified this topic as a mandatory quality assurance requirement. To that end a learning module with test questions was developed by Richard Steinecke and is available on line to our members. A central focus of the module speaks to boundary crossing and utilizes several case scenarios.

For Consideration:

Many of the council members, both professional and public appointees sit on either the ICR screening committee or may appear on a panel of the discipline committee and will transact complaints that deal with this topic.

In order to ensure all members of council have a strong grasp of the concepts and requirements of our members it would most likely be an asset if all council members and appointed non-council were familiar with the learning module.

The Executive Committee discussed the issue and is in support of a policy mandating that all council members, elected and public appointees complete the Sexual Abuse Prevention Training module as part of the on-boarding process.

Action Required:

Council to review and approve draft policy on Mandatory Sexual Abuse Prevention Training.

Governance Policy

Sexual Abuse Prevention Training

The College is dedicated to the prevention of any form of verbal, emotional, physical or sexual abuse and endorses a zero tolerance policy toward such conduct. The College furthermore recognizes the important role that it plays in protecting the public, including through its role in the orientation and training of Council and non-Council Committee Members to ensure that they are aware of the seriousness and extent of injury that sexual abuse can cause a patient.

To this end, all Council and non-Council Committee Members are required to complete Chapter 1 of the Jurisprudence Tool, **Professional Boundaries and Sexual Abuse Prevention**, at the following intervals:

1. Prior to attending their first Council or Committee meeting as a newly appointed or elected member; and
2. Every three years thereafter.

Council and non-Council Committee Members shall provide a copy of their certificate of completion to the Chair of the Council by no later than their first Council or Committee meeting of the calendar year, where applicable.

BRIEFING NOTE

TO: Council

FROM: Fazal Khan, Registrar

DATE: December 5, 2017

SUBJECT: Council Member Training

Background:

A reoccurring theme that came out of the council self-assessment was the desire for more orientation and training to assist council members to be more effective in their roles.

For Consideration:

- i) Chair Governance Training: As council members take on new leadership positions such as chair and vice chair, specialized governance training regarding roles and responsibilities will reduce the learning curve and contribute to smoother meetings. Approximate cost of a one-day training would be approximately \$3500.
- ii) Facilitation Training: Both leadership positions and staff support positions could benefit from facilitation training that assists with ensuring meetings are kept on scope, on time and that everyone participates effectively. Especially with the increased use of teleconferences, facilitation skills would be beneficial in running an effective meeting. Cost for a one-day session for 15 people is approximately \$4950. The two-day training session is \$9450.

Action Required:

Administration is looking for direction and support of the above-mentioned training opportunities. If council is supportive of the initiatives, budgets will be put aside in 2018 to engage these services.

Report

TO: Council

FROM: Fazal Khan, Registrar

DATE: December 5, 2017

SUBJECT: Registrar's Report

Highlights:

- Database
- Relocation
- External Relations-AOE, OOA, National Meetings
- Elections
- Meeting with College of Optometrists
- Essilor/Clearly.ca Injunction

Database:

Following our soft launch of our new database in June and we've launched the new renewal portal for opticians on October 31st. A considerable amount of staff and consulting time has gone into this project and we are hoping for a successful renewal season. The project is trending slightly over budget with the addition of new reporting requirements coming out of Bill 87.

We will be budgeting for a second phase of development which will take place in 2018 with further updates to the public register to reflect Bill 87 requirements as well as advanced features for the ICR and QA departments.

Relocation:

Most aspects of the relocation project are now complete. We are awaiting a leasehold improvement refund from the landlord. Once this is received a final figure can be determined for this project. A contingency fund will be maintained for the remodeling of the restrooms. While final figures are being compiled, the project appears to be tracking on or under budget.

External Relations:

Sept 24th - OOA Symposium in Ottawa: Approximately 130 opticians attended this event. The College presented an Update session as well as having a booth in the trade show.

Oct 15th - OOA Symposium in Toronto: Approximately 380 opticians attended this event. The College gave two back to back Update sessions as well as having a booth at the trade show.

Oct 22nd - AOE CE Show in Brampton: Approximately 600 opticians attended this event. Once again, the College had a booth in the trade show as well as presenting a Membership Update.

Oct 28-29th - NACOR Exams: See exams report for further details.

Nov 2-4th - National Meetings in Calgary: See National Meeting report.

These events continue to be an excellent venue for the College to interface with the membership.

Elections:

An election was held in District 5 on Friday November 17, 2017. We had three candidates running, Ms. Dorina Reiz, Mr. Mohammad Hussain and Ms. Natalie Dalcourt. Ms. Reiz was the successful candidate and starts her three-year term January 1, 2018.

Meeting with College of Optometrists:

The president and registrar of both colleges met for a meeting on October 23, 2017 to touch base on issues affecting both colleges and continued dialogue on areas for further collaboration. It was agreed that both college Executive Committees should meet in the new year.

Injunction with Essilor/Clearly.ca:

The injunction application was heard October 11, 2017 and the judge has reserved judgement. We await a response from the courts.

Respectfully submitted by:

Fazal Khan, RO
Registrar



College of
Opticians of
Ontario

Strategic Plan

2017 – 2019

Fall 2017

**We ensure the highest standard of vision care for all
Ontarians.**

NOTE: The College exists as the governing body for all licensed opticians in Ontario and as such, has the primary role of ensuring that the public's interest is ensured and protected at all times by opticians providing eye care services.

College of Opticians of Ontario – Mission Statement

We protect the public by regulating Ontario opticians to ensure they maintain a high standard of practice and professionalism.

College of Opticians of Ontario – Core Values

We strongly believe in and are committed to:

Transparency

- Access to information that is not confidential.

Accountability

- Accepting responsibility for decisions and actions.

Integrity

- Acting with conscience, putting aside self-interests and making clear decisions that are aligned with our mandate.

Efficiency

- Performing properly without wasting resources

College of Opticians of Ontario – Key Success Measures

Employee and Council Engagement

- Annual staff engagement questionnaire
- Self-evaluation of Council and Committees

Member Satisfaction and Engagement

- Member engagement initiative
- Member registration analysis

Financial Sustainability

- Budget and budget variance
- Reserve build-ups (capital, legal and strategic initiatives)

Process and Systems Improvements

- Develop member service standards process and conduct an analysis of member requests
- Level of satisfaction amongst key stakeholders (members, the public)
- Seeing if there is an increased awareness of the College by the public
- Increased level of participation and engagement of public and members when we seek feedback
- Positive outcomes of projects entered with stakeholders and collaborators

NOTE: A comprehensive set of tracking mechanisms have been developed to ensure that targets are set and met over the next 1-3 years.

College of Opticians of Ontario – Core Strategies

1. Transparency and Effective Communications Strategy

- Promote transparency and effective two-way communications.

2. Public Engagement Strategy

- Ensure public protection through meaningful public engagement.

3. Member Relations Strategy

- Create positive relationships with our members that add value to both parties.

4. Collaboration Strategy

- Working with internal and external stakeholders to achieve mutually beneficial goals.

5. Operational Strategy

- To ensure efficient operations of College activities.

Strategy # 1: Transparency and Effective Communications Strategy

Strategy Description: Promote transparency and effective two-way communications.

Strategic Action Items:

	Strategic Action Item	2017	Current Status	2018	2019	Lead Role	Notes
1.1	Ensure that the College website is current and informative, and that information is easy to find and understand.	Overhaul website	Explore/ Research	Launch	Monitor	Admin	Evaluating vendor proposals.
1.2	Explore expanding contents of public register.	Implement	On track	Monitor	Monitor	Admin/Legal	Council has approved some amendments. Amendments to be implemented via new public register.
1.3	Develop and publish guidelines regarding discretionary disclosure of information.	Explore	Seeking legal input	Develop	Implement	ICRC/ Legal/FHRCO	In-house general legal counsel is tasked with this project.

1.4	<p>Ensure consistency of Council processes/ guidelines. Council needs to be more well-informed about new Council members.</p> <ul style="list-style-type: none"> • biographies of newly elected Council members and newly appointed members; • Council orientation; • Council/Committee Chair training; • Committee member review; • Committee chair succession planning). 	Develop	On track <i>*explore sexual abuse training strategies and programs for all Council Members</i>	Implement	Monitor	Governance/Consultant	<p>Tasked to the Governance Committee in 2017 – will be modified in 2018 as Governance develops.</p> <p>Governance currently developing policies and strategies to implement in Spring 2018.</p> <ul style="list-style-type: none"> • Exploring mandatory sexual abuse prevention training strategies and programs for all Council/Committee members; • Exploring Committee Chair training; • Exploring facilitation training for lead council and staff.
1.5	<p>Request feedback from external stakeholders on Council's performance and College communications. Expand the typical stakeholder pool (VCC, associations, large employers, educators)</p>		On track	Explore	Monitor	Governance	<p>This action item could be a survey monkey that follows Council meetings.</p> <p>Possibly access Citizen's Advisory Group or add to stakeholder list.</p>

Strategy # 2: Public Engagement Strategy

Strategy Description: Ensure public protection through meaningful public engagement.

Strategic Action Items:

	Strategic Action Item	2017	Current Status	2018	2019	Lead Role	Notes
2.1	Educate the public about the scope of practice for opticianry, optometry and ophthalmology; risks associated with illegal dispensing of eyeglasses and contact lenses.		Scheduled as a future task.	Research	Develop	Patient Relations/ Consultant	Review National Awareness campaign. Seek input from Citizen's Advisory Group. Exploring a research consultant for PR At present utilizing the national 'Licensed Optician' website for public awareness.
2.2	Ensure access to public education materials at optical dispensaries.		Scheduled as a future task.	Research	Develop	Patient Relations/ Admin	Currently 'Why Risk your Eyes' brochures are available to members for use in their dispensaries.
2.3	Implement surveys to gather information from members and the public on their experience with the College to find out how we can improve.	Research	On track.	Develop	Implement	Patient Relations/ Consultant	Explore use of Citizen's Advisory Group
2.4	Developing patient bill of rights.		Scheduled as a future task.	Research	Develop	Patient Relations/ Other Regulators	Resource: Patients Canada/Patients First Act

	Strategic Action Item	2017	Current Status	2018	2019	Lead Role	Notes
2.5	Explore ways to create regulatory focus group/ patient forum.	Explore	In Progress	Monitor	Monitor	Patient Relations/ Consultant	<p>Citizen's Advisory Group feedback on Agenda items</p> <p>Canvas managers of committees to bring things forward to the Citizen's Advisor Group</p>

Strategy # 3: Member Relations Strategy

Strategy Description: Create and maintain positive relationships with our members that add value to both parties and the public.

Strategic Action Items:

	Strategic Action Item	2017	Current Status	2018	2019	Lead Role	Notes
3.1	Continue to participate in member relation functions.	Ongoing	On track	Ongoing	Ongoing	Admin	Staff continuously seek out opportunities along with regularly scheduled functions such as participation at CE events Attend tradeshow in the Fall and reinstitute live member updates by having COO Staff present to answer all questions from members
3.2	Seek new opportunities for member relations (e.g., create new networking events).	Ongoing	On track	Re-evaluate		Admin	As above COO inviting students to Council Meetings
3.3	Create initiatives to improve member compliance with QA program.	Explore	Explore/ Research	Implement	Re-evaluate	QA/ Admin	Challenges still faced with compliance. Look at developing online QA portal as part of database in 2018

	Strategic Action Item	2017	Current Status	2018	2019	Lead Role	Notes
							Discuss with legal counsel regarding enforcement
3.4	Improve student engagement activities regarding the role of the College and increase student participation. (e.g., appointed student ambassador).	Explore	Implemented	Monitor	Monitor	Admin	Reach out to schools to seek student ambassadors to attend council meetings. Ahead of schedule
3.5	Complete and conduct the tri-annual Member Needs Assessment process.		On track	Revise and Implement		Admin/ Consultant	
3.6	Evaluate changes to member service standards protocols.	Monitor	On track	Evaluate	Revisit as necessary		This is dependent on results of 2018 survey
3.7	Ensure that members are educated on compliance with dispensing standards when utilizing technology in their practice.		On-going	Monitor	Monitor	Admin	Included in membership update; ahead of schedule

Strategy # 4: Collaboration Strategy

Strategy Description: Improve relationships with internal and external stakeholders to achieve mutually beneficial goals.

Strategic Action Items:

	Strategic Action Item	2017	Current Status	2018	2019	Lead Role	Notes
4.1	Best practices – other Regulators and professional groups	Maintain and Explore	Explore/ on track	Implement	Monitor	Admin	Explore further FHRCO's opportunities and host more events at new COO offices. Send staff to more learning events. College continues to participate in FHRCO working groups Engaging with business schools (Ted Rogers, Schulich, etc.) to evaluate best practices, organizational structure, marketing and communications, etc.
4.2	Continuing Education (CE) providers to assist in areas of professional weakness		Scheduled as a future task.	Explore	Implement	QA/ ICRC/ Admin	Track areas of member weakness and
4.3	Collaboration with other Regulators (e.g. Internet Dispensing)	Ongoing	Ongoing	Ongoing	Ongoing	Admin/Exec	Taken from ID strategy – consistent ongoing activity.

4.4	Meet with MOHLTC	Ongoing	Ongoing	Ongoing	Ongoing	Admin/Executive	
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Strategy # 5: Operational Strategy

Strategy Description: To ensure efficient operations of College activities.

Strategic Action Items:

	Strategic Action Item	2017	Current Status	2018	2019	Lead Role	Notes
5.1	Annual Council self-assessment surveys.	Ongoing	Ongoing	Re-asses		Governance	Launched in December 2016
5.2	Staff Retention – explore options to enhance staff retention practices (e.g. staff surveys).	Explore	Explore/Develop	Implement	Ongoing	Admin/Executive	Investing in technology such as VOIP phone system to enable work-from-home
5.3	Analyze changes in membership data (e.g. number of practicing opticians).	Research	On Hold	Research	Develop/Implement	Registration Department	Migration to new database requires data clean up initiative pushed to 2018
5.4	Continuous improvement to membership database.	In Progress	On track	Implement	Monitor	Admin/Consultant/Registration Services	Member portal is scheduled to go live in the fall of 2017 Database soft launch June 2017 membership renewal portal to go live October 31



Report

TO: Council

FROM: Fazal Khan, NACOR Representative

DATE: December 5, 2017

SUBJECT: National Meeting Report Nov 1-3, 2017

In attendance: David Milne, President
Ingrid Koenig, Vice President (past chair of NACOR)
Fazal Khan, Registrar (Incoming chair of NACOR)

NACOR-National Association of Canadian Opticianry Regulators Meeting

Most of the agenda was spent refining the 2015-2018 strategic plan. Vision, Mission, and values were refined to reflect the very narrow scope of NACOR consisting of supporting the provincial regulators with tools such as the national exam and PLAR tools.

Presentations were given regarding the Opticians Pre-Arrival website that outlines what an optician does, where they can enroll for accredited education and the exams process.

CCA Tool-Continuing Competency Assessment Tool was shared by BC. Essentially BC opticians will be required to undergo a self-assessment using this tool to identify areas of weakness or opportunities for professional development prior to setting their continuing education learning goals for the year. Results will only be shared in an amalgamated format with the College and will assist CE providers in tailoring their offerings to areas where members need assistance.

OCC- Opticians Council of Canada

The OCC has embraced the direction of "Keeping Opticianry Relevant" and to that end the focus has been on recruitment as well as scope expansion.

A presentation was given by Laura Greer of Hill and Knowlton (H&K), Government Relations firm. H&K has spent the past year assessing the state of refraction and prescribing across

Canada. Efforts are being focused on Alberta where there is already refraction and the move is to expand scope to encompass prescribing.

H&K presented a 'Tool Kit' for each province to customize with high level direction regarding how each stakeholder, regulator, associations, and educators are to interact with government. Emphasis was placed on what role each group should play.

Next meetings will be in Montreal in the Spring of 2018 and Quebec City in the Fall of 2018.

Respectfully submitted by

Fazal Khan, RO
Registrar
NACOR Representative

DISCIPLINE COMMITTEE REPORT

October 2017 Committee Report to Council

Discipline Committee Members

Elected Members

Rob Vezina RO, Chair
Jeff Fernandes RO
Balbir Dhillon RO
Ingrid Koenig RO
Michelle Rivais RO
Neda Mohammadezedah, RO
Bryan Todd, RO
Ed Viveiros RO
Peggy Dryer RO

Public Members

Trudy Mauth, Vice Chair
Omar Farouk
Evelyn Hoch
David Milne
Joseph Richards
Gordon White

Appointed Non-Council Members

John Battaglia RO
Derrick Summers RO
Tai-Ming (Alain) Chow RO
Dorina Riez RO

Hearings:

Since the last report one discipline hearing was held on November 6, 2017 which resulted in a finding of professional misconduct against Mr. John Eikeland. Decision and Reasons will be posted on the College's website once they have been completed.

Two additional matters have been referred to the Discipline Committee and are currently awaiting scheduling.

Committee Training:

10 discipline committee members upgraded their discipline training through FHRCO on October 26th and/or 27th of 2017.

Submitted by:

Rob Vezina RO, Chair
Deidre Brooks, Manager, Professional Conduct

REGISTRATION COMMITTEE REPORT December 2017

Committee Members:

Robert Vezina, RO, Chair
Bryan Todd, RO, Vice-Chair
John Battaglia, RO
Trudy Mauth, Public Member
Jeffrey Fernandes, RO
Eve Hoch, Public Member
Joseph Richards, Public Member

Registration Appeal Panel:

Alain Chow, RO
Balbir Dhillon, RO
David Milne, Public Member

Number of Meetings

Since October 2017, the Registration Committee has held one webinar meeting. A statistical report of the number of applications received and reviewed by the Registration Committee is attached.

Respectfully submitted,

Robert Vezina RO, Chair
Laura Briard, Manager of Professional Programs

Statistical Report (from October 2017)

PLAR Applicants	
Initial Inquiries Received <ul style="list-style-type: none"> Internationally educated applicants Applicants from non-accredited Canadian programs No formal education 	23 20 3 0
Applications Received <ul style="list-style-type: none"> Internationally educated applicants Applicants from non-accredited Canadian programs Applicants that completed international training & non-accredited Canadian education No formal education 	2 1 1 0 0
Applications Refused	0
Applications Completed (Decision and Reasons Issued) <ul style="list-style-type: none"> Applicants required to complete bridging Applicants permitted to write the National Examinations 	0 0 0

Active Applications in Process	4
<ul style="list-style-type: none"> Initial Registration Committee Review pending 	1
<ul style="list-style-type: none"> Applicants currently scheduled for the CGA/eligible to write CGA 	3
<ul style="list-style-type: none"> CGA completed, Interviews pending 	0
<ul style="list-style-type: none"> Final Registration Committee review pending 	0

Other Applications for Registration	
New Applications for Reinstatement (3+ yrs.) Received	4
<ul style="list-style-type: none"> Applications considered by Registration Committee (pending) 	0
<ul style="list-style-type: none"> Applications Approved to Reinstate, with/without continuing education 	1
<ul style="list-style-type: none"> Competency Assessments Required 	3
Internal Registration Appeals	0
HPARB Appeals	0
Upgrading Programs Considered by Committee	1
Previously Approved Upgrading Program Completed	0
Requests for Extension of Registration Committee Decision	2

EXECUTIVE COMMITTEE REPORT

December 5, 2017 Committee Report to Council

Executive Committee Members:

David Milne, Public Member, (Chair)
Ingrid Koenig, RO (Vice-Chair)
Omar Farouk, Public Member
Bryan Todd RO, Elected Member
Rob Vezina RO, Elected Member

Number of Meetings:

- 1 in-person meeting

Executive had an in-person full day meeting on November 20, 2017. The committee engaged in a review of the 2017 budget and updated financial reports, all of which went forward to Council for presentation.

Executive reviewed and made several recommendations to amend the Council's committee composition for the period January 1, 2018-January 29, 2018. With the departure of several appointed, public, and elected council members on December 31, 2017 there will be a number of committee position openings leaving many committees non-constituted. The recommendations are coming forth to the December council meeting.

Executive reviewed several proposals for council training including mandatory sexual abuse prevention training. These proposals will be brought forward to December council.

The balance of the day was spent conducting telephone interviews for filling appointed member vacancies. Executive's recommendations will be brought forward to the December council meeting.

Respectfully submitted,

David Milne
President

FITNESS TO PRACTISE COMMITTEE REPORT
December 2017

Committee Members:

Robert Vezina, RO, Chair
Bryan Todd, RO, Vice-Chair
John Battaglia, RO
Trudy Mauth, Public Member
Jeffrey Fernandes, RO

Eve Hoch, Public Member
Joseph Richards, Public Member
Alain Chow, RO
Balbir Dhillon, RO
David Milne, Public Member

Number of Meetings

The Fitness to Practise Committee holds hearings to determine if a member is incapacitated to such a degree that this prevents him/her from practising safely and effectively. The Committee meets on an as-needed basis, should allegations of incapacity of a member be referred.

There have been no referrals made to the Fitness to Practise Committee.

Respectfully submitted,

Robert Vezina, RO, Chair
Laura Briard, Manager of Professional Programs

INQUIRIES, COMPLAINTS AND REPORTS COMMITTEE

Report to Council – December 2, 2017

Committee Members:

Omar Farouk, Public Member, Committee Chair

Bryan Todd RO, Vice Chair

John Battaglia RO

Ingrid Koenig RO

Neda Mohammadzadeh RO

Dorina Reiz RO

Ed Viveiros RO

Gordon White, Public Member

Joseph Richards, Public Member

Eve Hoch, Public Member

Panel Information and Composition:

The Inquiries, Complaints and Reports Committee (ICRC) reviews concerns made to the College regarding its members. This includes formal complaints, Registrar investigations arising from information that is brought to the attention of the College or referrals from the Quality Assurance Committee. Every complaint and report is thoroughly and objectively investigated. The Committee considers concerns relating to a member's conduct, competency and capacity to determine if a referral to the Discipline Committee is needed, or if other recommendations are more suitable. The ICRC also investigates and, where appropriate, refers matters to the Executive Committee to commence prosecution in matters involving unauthorized practice.

The Committee's business is conducted by 2 panels:

Panel 1	Panel 2
Omar Farouk	Bryan Todd
John Battaglia	Ingrid Koenig
Ed Viveiros	Neda Mohammadzadeh
Joseph Richards	Gordon White

Dorina Reiz	Eve Hoch
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In order to work efficiently, and taking into consideration convenience and cost-effectiveness, the panels attempt to alternate in-person meetings and webinars whenever possible. The panels also conduct some of their work via email.

Number of Meetings:

The Committee met as a group on November 21, 2017. Both Panel 1 and Panel 2 held their meetings in conjunction with the group meeting. There have been 3 webinar meetings held October and November. Special Panel 4 met by webinar on November 24, 2017.

Report:

The ICRC strives to be transparent, consistent and objective in its decisions. A Risk Assessment Framework is used to guide panels of the ICR Committee in the decision making process when determining outcomes of complaints and reports.

There are currently six open complaints and one registrar report that requires further investigation. The College has 6 SCERPs and 3 oral cautions to monitor. The matters in this report involve concerns pertaining to unprofessional behaviour, unsatisfactory eyeglasses dispensed, insurance fraud, sexual abuse and professional misconduct. There are currently 3 open unauthorized practice files.

A full statistical report is attached.

Submitted by:

Omar Farouk Public Member, Committee Chair
Deidre Brooks, Manager, Professional Conduct

ICRC Statistical Report – Complaints & Reports

From September 27, 2017 to November 24, 2017

<i>Complaint Statistics</i>	<i># of Files</i>
Complaint Inquiries:	12*
Inquiries that became a formal complaint * (There may be others due to anonymous inquiries)	
Inquiries outside jurisdiction	-
Inquiries requesting practice advice	-
Inquiries pending further information	1
Formal Complaints opened	6
Cases brought forward from 2016	-
Registrar Reports	1
Registrar Reports (QAC Referrals) (2 files brought forward from 2016)	2
Closed Complaints and Registrar's Reports: (files may include multiple outcomes)	3
Determined frivolous & vexatious	-
Closed with no further action	-
Closed with written advice	-
Closed with an oral caution	3
Closed with a specified continuing education and remediation program (SCERP)	3
Referred to discipline	2
Prosecutorial Viability Assessments	6
Current HPARB Appeals:	4
HPARB – decision pending	3

Nature of Current Complaints and Registrar's Reports:	
Unprofessional behaviour/ unsatisfactory eyeglasses dispensed	2
Sexual Abuse	2
Insurance Fraud	2
Professional Misconduct	2
Unprofessional behaviour	1
Failure to satisfactorily complete the College's Quality Assurance Program	-

* Includes all initial inquiries made to the College via phone, e-mail, fax, letter, etc.

ICRC Statistical Report - Unauthorized Practice

From September 26, 2017 to November 24, 2017

Unauthorized Practice Statistics	# of Files
Unauthorized Practice Inquiries	3
Inquiry – resulted in an investigation	-
Inquiry pending – further information needed	-
Inquiry not unauthorized practice	-
Outside College's jurisdiction	-
Inquiry sent to Registrar	3
Open Files	3
Investigation	3
Ready for Panel	-
Recently Closed Files	
Gone for legal proceedings – in progress	-
Compliance package received – members verified	-
Outside College's jurisdiction	-

* Includes all initial inquiries made to the College via phone, e-mail, fax, letter, etc.

PATIENT RELATIONS COMMITTEE REPORT

December 2017 Committee Report to Council

Patient Relations Committee Members:

David Milne, Public Member, Chair
Peggy Dreyer, Chair, Elected Member, Vice-Chair
Joseph Richards, Public Member
Eve Hoch, Public Member
Derick Summers, Appointed
Dorina Reiz, Appointed

Report:

The Patient Relations Committee has not met since its last report to Council.

The committee is scheduled to have an in-person meeting in January of 2018. The committee will review a new chapter for the Jurisprudence module called “Communication” which was developed by Richard Steinke. The committee will also review changes to the first Jurisprudence module on Sexual Abuse to reflect the changes from Bill 87.

There are several new strategic initiatives from the strategic plan¹ that was approved by Council in May which the committee will be working on in the next few months.

Submitted by:

Davis Milne, Chair, Public Member
Denise Steele, Manager, Patient Relations and Governance

¹ Public Engagement Strategy (Strategy #2)

GOVERNANCE COMMITTEE REPORT

December 2017 Committee Report to Council

Governance Committee Members:

Gordon White, Chair, Public Member
Neda Mohammadzadeh, Vice-Chair, Elected Member
Ingrid Koenig, Elected Member
Eve Hoch, Chair, Public Member
Natalie Dalcourt, Appointed Member
Alain Chow, Appointed Member

Number of Meetings:

The Governance Committee had one in person meeting and one webinar since its last report to Council.

Governance Committee Working Session

At its meeting on October 23rd the Committee continued to work on redeveloping the Governance Process and Manual with the assistance of Ms. Karen Fryday-Field, from Median Edge and Leadership & Governance. The committee developed additional policies that will be presented to Council for approval in December.

The Governance Committee will continue to address sections of the By-laws that require amendment and will continue to make recommendations to Council as required.

Submitted by:

Gordon White, Chair, Public Member
Denise Steele, Manager, Patient Relations and Governance

QUALITY ASSURANCE COMMITTEE REPORT

December 2017

Committee Members:

Peggy Dreyer, RO, Chair
David Milne, Public Member, Vice-Chair
Rob Vezina, RO
Trudy Mauth, Public Member
Derick Summers, RO
Alain Chow, RO

Number of Meetings

Since October 2017, the Quality Assurance Committee has held three webinar meetings.

2017 Competency Review and Evaluation (CRE) Process Update

The QA Committee worked to review all 170 deficient portfolios by October 19, 2017. When reviewing deficient portfolios, the QA Committee considered the amount of continuing education (both unaccredited and accredited hours) the member was missing. The QA Committee has requested member's with deficient portfolios complete additional continuing education in 2017 and submit proof of completion to the College. In addition, the QA Committee has requested that members missing a substantial amount of continuing education submit their 2017 Professional Portfolio to the College for review by the QA Committee in 2018.

All members who had deficient portfolios were notified of the QA Committee's decision by November 24, 2017.

Quality Assurance Outreach

QA department staff, along with the QA Committee chair, attended two continuing education events in October to answer questions from members about the QA program.

Accreditations

The QA Committee continues to work via email to review accreditation requests submitted by continuing education course providers. Since October 2017, the Quality Assurance Committee has accredited 22 new continuing education courses.

Peer and Practice Assessments

Since October 2017, the College's Peer Assessors have completed six peer and practice assessments. The College's Peer Assessors have completed a total of 12 peer and practice assessments this year.

Respectfully submitted,

Peggy Dreyer, RO, Chair
Laura Briard, Manager, Professional Programs

DRAFT

EXAMINATIONS REPORT December 2017

The National Examination in contact lenses and eyeglasses is a non-exemptible requirement for a certificate of registration as a Registered Optician in Ontario.

The College, in connection with the National Association of Optician Regulators (NACOR), conducts two national exam sessions in Ontario per year. All eligible examination candidates can complete the examinations anywhere in Canada.

Fall Examinations

The fall session of examinations was held at Georgian College, in Barrie, on October 28-29, 2017. The session was the largest session in Ontario to date with the following number of candidates:

Candidate Type	Total	Ontario Applicants ¹	Out-of-Province Applicants ²
Contact Lens	152	150	2
Eyeglass	128	127	1

¹ Ontario Applicants intend to seek registration in Ontario

² Out-of-province applicants intend to seek registration in other Canadian provinces.

The marks from the examinations will be available in mid-December.

Spring Examinations

The spring session of examinations will take place on May 4-6, 2018, and will be held at Georgian College, in Barrie.

Respectfully submitted,

Peggy Dreyer, Chief Examiner for Ontario
Laura Briard, Manager, Professional Programs

MEMO

TO: Council

FROM: Fazal Khan, Registrar

DATE: December 5, 2017

SUBJECT: Upcoming Events

For Consideration:

Below is a list of upcoming events and dates for Council's consideration. The remainder of the 2018 Council dates will be discussed at the first council meeting of 2018.

Proposed Council Date:

January 29, 2018 & January 30, 2018

Proposed Chair/Co-Chair 2-Day Facilitation Training Dates:

January 18 – 19, 2018

or

February 1-2, 2018

Action Required:

1. Does Council approve the proposed January Council date?
2. Which session does Council prefer for Facilitation Chair Training?